

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: )  
Tsutomu Kitoh et al. )  
Serial No.: 10/540,789 ) Art Unit  
Filed: April 14, 2006 ) 2883  
Confirmation No.: 2077 )  
For: ARRAYED WAVEGUIDE GRATING TYPE )  
OPTICAL MULTIPLEXER/DEMULTIPLEXER )  
CIRCUIT )  
Examiner: Eric K. Wong )

**SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. § 1.97**

Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

Sir.

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed listed references are disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof that is not a US patent document is also enclosed.

Statement of Relevance of References  
Listed Unaccompanied by English  
Translation Under 37 CFR § 1.98(a)(3)

In accordance with 37 CFR § 1.98(a)(3), the following concise explanation of the relevance of each listed reference that is not in the English language and unaccompanied by a translation into English is provided.

**Chinese Patent No. CN 1273471A:** LOW LOSS AWG DEMULTIPLEXER WITH FLAT SPECTRAL RESPONSE: An optical wavelength multiplexer/demultiplexer, capable of exhibiting flat spectral response characteristics while minimizing insertion loss, is proposed. The optical wavelength multiplexer/demultiplexer, used in WDM systems, includes a first slab waveguide for dividing powers of input optical signals coupled from the input optical waveguides, an arrayed waveguide grating for guiding the optical signals from the first slab waveguide therethrough in such a fashion that the optical signals have constant phase difference in neighboring waveguides, a second slab waveguide in which the optical signals from the arrayed waveguide grating converge into the focal positions according to their wavelengths, and a taper waveguide interposed between the second slab waveguide and output waveguides and adapted to obtain a flat spectral response while minimizing an insertion loss.

Non-Prior Art References

The following references are not prior art, but are listed herein for the Examiner's consideration:

Office Action from Chinese Patent Office dated January 19, 2007 for Application No. 2003-80107773X (English translation enclosed) which relates to the same invention as the present application.

Dated this 21st day of November 2007.

Respectfully submitted,

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